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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 11]  
(preferred arrangement set forth below)
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets  ]

5. Oath or Declaration [ Total Pages 2 ]
 

- a.  Newly executed (original or copy) (unsigned)  
Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- b.  (for continuation/divisional with Box 18 completed)

6.  Application Data Sheet. See 37 CFR 1.76

Attorney Docket No.	1-15407
First Inventor	Kaplan, Andreas
Title	Beta-Hydroxyalkylamides, Process for Their Production and Their Use
Express Mail Label No.	EL850046815US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			or <input checked="" type="checkbox"/> Correspondence address below
Name	D. Edward Dolgorukov			
Address	Marshall & Melhorn, LLC			
	Four SeaGate, Eighth Floor			
City	Toledo	State	Ohio	Zip Code 43604
Country	USA	Telephone	419-249-7100	Fax 419-249-7151
Name (Print/Type)	D. Edward Dolgorukov		Registration No. (Attorney/Agent)	26,266
Signature	<i>D. Edward Dolgorukov</i>		Date	7/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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07/20/01

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 710)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Kaplan, Andreas
Examiner Name	
Group Art Unit	
Attorney Docket No.	1-15407

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number **13-1816**  
 Deposit Account Name **Marshall & Melhorn, LLC**  
 Charge Any Additional Fee Required  
 Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status.  
 See 37 CFR 1.27

2.  Payment Enclosed:  
 Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	<b>710</b>
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710)

## 2. EXTRA CLAIM FEES

Total Claims	14	-20** =	0	x		=	0
Independent Claims	1	- 3** =	0	x		=	0
Multiple Dependent							

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 0)

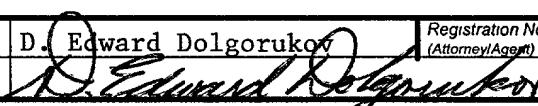
\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0)

SUBMITTED BY		Complete if applicable		
Name (Print/Type)	D. Edward Dolgorukov	Registration No. (Attorney/Agent)	26,266	Telephone 419-249-7146
Signature			Date	July 20, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

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"Express Mail" label number

July 20, 2001

Date of Deposit

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Sarah E. Dutridge

Signature of person mailing correspondence

Sarah E. Dutridge

Typed or printed name of person mailing correspondence

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**New Utility Patent Application**

**Title:** BETA-HYDROXYALKLYAMIDES, PROCESS FOR THEIR PRODUCTION  
AND THEIR USE

**Inventors:** Kaplan, et al.

**Docket No.** 1-15407

**Attorneys:** Marshall & Melhorn, LLC, Four SeaGate, Eighth Floor,  
Toledo, OH 43604 ph: 419-249-7100 / fax: 419-249-7151

JC903 U.S. PTO  
09/09/01  
07/20/01



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Kaplan  
Serial No.: 0 /  
Filed:  
For: Beta-Hydroxyalkylamides, Process  
for Their Production and Their Use  
**Assistant Commissioner for Patents**  
Washington, D.C. 20231

Group No.:

Examiner:

## TRANSMITTAL OF CERTIFIED COPY

Attached please find the certified copy of the foreign application from which priority is claimed for this case:

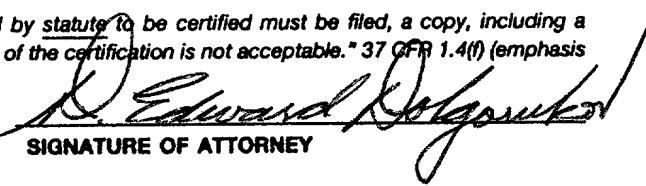
Country: Germany

Application

Number: 100 53 194.6

Filing Date: October 26, 2000

**WARNING:** "When a document that is required by statute to be certified must be filed, a copy, including a photocopy or facsimile transmission of the certification is not acceptable." 37 CFR 1.4(f) (emphasis added).


 SIGNATURE OF ATTORNEY

Reg. No. 26,266

D. Edward Dolgorukov

(type or print name of attorney)

Tel. No. ( 419 ) 249-7146

Marshall & Melhorn, LLC  
Four SeaGate, Eighth Floor

P.O. Address

Toledo, OH 43604

**NOTE:** The claim to priority need be in no special form and may be made by the attorney or agent, if the foreign application is referred to in the oath or declaration, as required by § 1.63.

## CERTIFICATE UNDER 37 CFR 1.10 OF MAILING BY "EXPRESS MAIL"

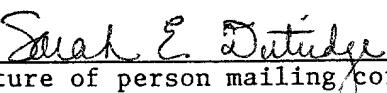
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July 20, 2001

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 Signature of person mailing correspondence

Sarah E. Dutridge

Typed or printed name of person mailing correspondence